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## **DEPARTMENT OF THE TREASURY**

### **Office of the Comptroller of the Currency**

**Agency Information Collection Activities: Information Collection Renewal;**

**Submission for OMB Review; Municipal Securities Dealers and Government**

**Securities Brokers and Dealers – Registration and Withdrawal**

**AGENCY:** Office of the Comptroller of the Currency (OCC), Treasury.

**ACTION:** Notice and request for comment.

**SUMMARY:** The OCC, as part of its continuing effort to reduce paperwork and respondent burden, invites the general public and other Federal agencies to take this opportunity to comment on a continuing information collection, as required by the Paperwork Reduction Act of 1995 (PRA).

In accordance with the requirements of the PRA (44 U.S.C. chapter 35), the OCC may not conduct or sponsor, and the respondent is not required to respond to, an information collection unless it displays a currently valid Office of Management and Budget (OMB) control number. The OCC is soliciting comment concerning the renewal of its information collection titled, "Municipal Securities Dealers and Government Securities Brokers and Dealers – Registration and Withdrawal." The OCC also is giving notice that it has sent the collection to OMB for review.

**DATES:** You should submit written comments by **[INSERT DATE 30 DAYS FROM DATE OF PUBLICATION IN FEDERAL REGISTER]**.

**ADDRESSES:** Because paper mail in the Washington, DC area and at the OCC is subject to delay, commenters are encouraged to submit comments by e-mail, if possible.

Comments may be sent to: Legislative and Regulatory Activities Division, Office of the Comptroller of the Currency, Mail Stop 9W-11, Attention: 1557-0184, Washington, DC 20219. In addition, comments may be sent by fax to (571) 465-4326 or by electronic mail to [prainfo@occ.treas.gov](mailto:prainfo@occ.treas.gov). You may personally inspect and photocopy comments at the OCC, 400 7<sup>th</sup> Street, SW, Washington, DC 20219. For security reasons, the OCC requires that visitors make an appointment to inspect comments. You may do so by calling (202) 649-6700 or, for persons who are deaf or hard of hearing, TTY, (202) 649-5597. Upon arrival, visitors will be required to present valid government-issued photo identification and to submit to security screening in order to inspect and photocopy comments.

All comments received, including attachments and other supporting materials, are part of the public record and subject to public disclosure. Do not include any information in your comment or supporting materials that you consider confidential or inappropriate for public disclosure.

Additionally, please send a copy of your comments by mail to: OCC Desk Officer, 1557-0184, U.S. Office of Management and Budget, 725 17th Street, NW., #10235, Washington, DC 20503, or by email to: [oir\\_submission@omb.eop.gov](mailto:oir_submission@omb.eop.gov).

**FOR FURTHER INFORMATION CONTACT:** Shaquita Merritt, Clearance Officer, (202) 649-5490 or, for persons who are deaf or hard of hearing, TTY, (202) 649-5597, Legislative and Regulatory Activities Division, Office of the Comptroller of the Currency, 400 7<sup>th</sup> Street, SW., Washington, DC 20219.

**SUPPLEMENTARY INFORMATION:**

The OCC is proposing to extend OMB approval of the following information collection:

Title: Municipal Securities Dealers and Government Securities Brokers and Dealers – Registration and Withdrawal.

OMB Control No.: 1557-0184.

Form Numbers: MSD, MSDW,<sup>1</sup> MSD-4, MSD-5, G-FIN, G-FINW, GFIN-4 and GFIN-5<sup>2</sup>.

Abstract: This information collection is required to satisfy the requirements of section 15B<sup>3</sup> and section 15C<sup>4</sup> of the Securities Exchange Act of 1934, which require, in part, any national bank or Federal savings association that acts as a government securities broker/dealer or a municipal securities dealer to file the relevant form with the OCC to inform the agency of its broker/dealer activities. The OCC uses this information to determine which national banks and Federal savings associations are acting as government securities broker/dealers and municipal securities dealers and to monitor entry into and exit from these activities by institutions and registered persons. The OCC also uses the information in planning national bank and Federal savings association examinations.

Type of Review: Regular.

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<sup>1</sup> The Securities and Exchange Commission (SEC) maintains collections for the MSD and MSDW under OMB Control Nos. 3235-0083 and 3235-0087, however, there is a requirement that these be filed with the OCC, which is covered by OMB Control No. 1557-0184.

<sup>2</sup> The Department of the Treasury maintains collections for the G-FIN-4 and G-FIN-5 under OMB Control No. 1535-0089, however there is a requirement that they be filed with the OCC, which is covered by OMB Control No. 1557-0184.

<sup>3</sup> 15 U.S.C. 78o-4.

<sup>4</sup> 15 U.S.C. 78o-5.

Affected Public: Businesses or other for-profit.

Estimated Number of Respondents: 19 (8 government securities dealers; 1 municipal securities dealer; and 10 municipal and government securities dealers).

Estimated Number of Responses: 802.

Frequency of Response: On occasion.

Estimated Annual Burden: 736 burden hours.

On March 1, 2016, the OCC published a notice regarding this collection for 60 days of comment, 81 FR 10716. No comments were received. Comments continue to be invited on:

(a) Whether the collection of information is necessary for the proper performance of the functions of the OCC, including whether the information has practical utility;

(b) The accuracy of the OCC's estimate of the information collection burden;

(c) Ways to enhance the quality, utility, and clarity of the information to be collected;

(d) Ways to minimize the burden of the collection on respondents, including through the use of automated collection techniques or other forms of information technology; and

(e) Estimates of capital or start-up costs and costs of operation, maintenance, and purchase of services to provide information.

Dated: May 9, 2016.

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